

JC929 U.S. PTO  
 09/05/647  
 05/17/01



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
 (MODIFIED) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT  
 (Use several sheets if necessary)  
 (37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.  
 053168-5005

SERIAL NO.  
 Not yet known

APPLICANT  
 Shrenik Deliwala

FILING DATE  
 May 17, 2001

GROUP  
 Not yet known

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER								ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.P.	A	6	1	7	7	6	8	5		01/01	Teraguchi et al.			
C.P.	B	6	1	8	8	8	1	8		02/01	Han et al.			
C.P.	C	6	1	6	6	8	4	6		12/00	Maloney			
C.P.	D	6	0	7	5	9	0	8		06/00	Paniccia et al.			
C.P.	E	6	1	2	2	4	1	9		09/00	Kurokawa			
C.P.	F	5	8	6	4	6	4	2		01/99	Chun et al.			
C.P.	G	5	8	7	2	3	6	0		02/99	Paniccia et al.			
C.P.	H	5	8	3	5	6	4	6		11/98	Yishimura et al.			
C.P.	I	5	6	9	6	8	6	2		12/97	Hauer et al.			
C.P.	J	4	6	7	7	7	8	3		07/87	Cratsa			
C.P.	K	5	6	3	8	4	6	9		06/97	Feldman et al.			

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER								PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
														YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

C.P.	L	Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000.
C.P.	M	Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.
C.P.	N	Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.
C.P.	O	Robert Shi and Tomasz Jannson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing – Micro-optics, Artech House, pp. 141-225.
C.P.	P	Amalia N. Miliou et al., A 1.3 μm Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.
C.P.	Q	Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER

DATE CONSIDERED

9/11/04

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APPLICANT  
Shrenik Deliwala

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.P.	R	5	6	2	9	8	3	8	05/97	Knight et al.			
C.P.	S	5	6	2	5	7	2	9	04/97	Brown			
C.P.	T	5	6	2	5	6	3	6	04/97	Bryan et al.			
C.P.	U	5	6	0	5	8	5	6	02/97	Goosen et al.			
C.P.	V	5	5	6	8	5	7	4	10/96	Tanguay, Jr. et al.			
C.P.	W	5	5	0	2	7	7	9	03/96	Magel			
C.P.	X	5	4	8	5	0	2	1	01/96	Abe			
C.P.	Y	5	4	3	4	4	3	4	07/95	Kasahara et al.			
C.P.	Z	5	4	3	2	6	3	0	07/95	Lebby et al.			
C.P.	AA	5	4	0	0	4	1	9	03/95	Heinen			
C.P.	BB	5	1	9	8	6	8	4	03/93	Sudo			

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								FILING DATE	GROUP Not yet known

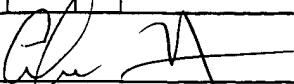
**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.P.	CC	5	1	5	9	7	0	0	10/92	Reid, deceased et al.		
C.P.	DD	5	1	5	3	7	7	0	10/92	Harris		1 VR x10d.
C.P.	EE	5	0	6	1	0	2	7	10/91	Richard		
C.P.	FF	4	9	6	6	4	3	0	10/90	Weidel		
C.P.	GG	4	9	3	9	7	9	3	07/90	Stewart		
C.P.	HH	4	9	1	7	4	5	0	04/90	Pocholle		
C.P.	II	4	8	7	1	2	2	4	10/89	Karstensen		
C.P.	JJ	4	8	6	5	4	2	7	09/89	Kingston et al.		
C.P.	KK	4	7	6	1	6	2	0	08/88	Bar-Joseph et al.		1/10/90
C.P.	LL	4	7	5	8	0	9	2	07/88	Heinrich et al.		0
C.P.	MM	4	6	9	5	1	2	0	09/87	Holder		

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PTO/SB/08A (10-01)

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Substitute for form 1449A/PTO		Complaint if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number <u>09/859,647</u> Filing Date <u>May 17, 2001</u> First Named Inventor <u>Shrenik Daliwala</u> Art Unit <u>2878</u> Examiner Name <u>Not yet known</u> Attorney Docket Number <u>053168-5005</u>	
(use as many sheets as necessary)			
Sheet	/	of	/

## **U.S. PATENT DOCUMENTS**

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

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of

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**Complete if Known**

Application Number	09/859,647
Filing Date	05/17/2001
First Named Inventor	DeJewalts
Art Unit	6078
Examiner Name	Motyct/koown
Attorney Docket Number	053168-5005

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
C.P. A		US-5,880,491	03-09-1999	Soref et al.	
C.P. B		US-4,728,167	03-01-1988	Soref et al.	
C.P. C		US-4,261,638	04-14-1981	Wagner	
C.P. D		US-5,975,271	02-23-1999	Langhlin	
C.P. E		US-4,957,973	08-15-1989	Yang et al.	
C.P. F		US-5,1841,916	11-24-1990	Langhlin	
C.P. G		US-6,132,930	10-24-2000	Langhlin	
C.P. H		US-5,682,455	10-28-1997	Kovacic et al.	
C.P. I		US-6,163,632	12-19-2000	Rickman et al.	
E.D. J		US-5,444,567	04-22-1995	Kataoka	
C.P. K		US-5,652,681	07-29-1997	Chen et al.	
C.P. L		US-6,202,357B1	08-28-2001	Kudota et al.	
C.P. M		US-6,259,844B1	07-10-2001	Bhagavatula	
C.P. N		US-6,118,911	09-12-2000	Bennett et al.	
C.P. O		US-6,049,639	04-11-2000	Paniccia et al.	
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T6
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
C.P. P		WO-99/09514 - A1	02-25-1999	Advanced Precision		
Q		WO-00/49451 - A1	08-24-2000	Bookham Tech.		
R		WO-99/60433 - A1	11-25-1999	Bookham Tech.		
S		WO-99/34485 - A1	07-08-1999	Bookham Tech.		
T		WO-01/50166 - A1	07-12-2001	Bookham Tech.		
U		WO-01/67172 - A1	09-13-2001	Bookham Tech.		

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Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		Complete If Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	07/859,647
(use as many sheets as necessary)		Filing Date	05-17-2001
		First Named Inventor	S. Delivonala
		Art Unit	2870
		Examiner Name	Not yet known
		Attorney Docket Number	053163-5005
Sheet	1	of	1

## **U.S. PATENT DOCUMENTS**

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Examiner Signature		Date Considered	9/13/04
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Substitute for form 1449A/PTO		Complete If Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	09/859647
(use as many sheets as necessary)		Filing Date	May 17, 2001
		First Named Inventor	S. Deliwala
		Art Unit	2870
		Examiner Name	Not yet Known
Sheet	/	of	/
		Attorney Docket Number	
		053168-5005	

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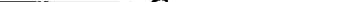
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(use as many sheets as necessary)		Filing Date	May 17, 2001
		First Named Inventor	S. Deiwala
		Art Unit	2878
		Examiner Name	Not yet Known
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		Attorney Docket Number	053168-5005

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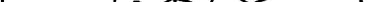
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>			
(use as many sheets as necessary)			
Sheet	1	of	2
		Application Number	09/859,647
		Filing Date	May 17, 2001
		First Named Inventor	S. Deliwa Jr
		Art Unit	7870
		Examiner Name	Not yet Known
		Attorney Docket Number	053168-5005

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